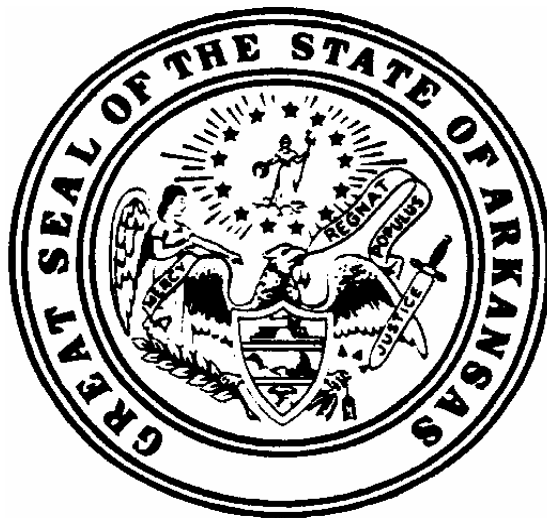


# DEPARTMENT OF FINANCE AND ADMINISTRATION

## Employee Orientation Handbook



### *About this Handbook:*

*This Handbook does not constitute any employment contract or agreement, either expressed or implied, between the Department and its employees. This Handbook is subject to change without notice either wholly or in part.*

*Discrimination by any officer or employee based upon race, creed, religion, national origin, age, sex, or gender shall constitute grounds for dismissal. When it is determined by any court of law that an employee of the State of Arkansas is guilty of discrimination based on the above, such determination shall be grounds for dismissal from employment.*

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January 2006

Dear Employees:

I am happy, on behalf of the employees of the Department of Finance and Administration, to extend a warm welcome to you. We are pleased that you have chosen to join us and it is our desire to assist you in adjusting quickly to your new position. This orientation booklet is aimed at providing some assistance. It will answer many of the questions you may have concerning salaries, insurance, leave, and other policies and benefits of employment. For those topics not covered and questions not answered, I encourage you to discuss them with your supervisor.

The employees of this Department are proud of their reputation for the friendly, courteous and helpful assistance they give to those whom they have the opportunity to serve. We take pride in the professional manner in which our business is conducted. We are a service organization that offers various types of administrative, managerial, and technical assistance to other departments and agencies of State government. We also are responsible for collecting the taxes that finance most of State government, issuing drivers' licenses, registering motor vehicles, and assisting in the administration of racing and alcoholic beverage laws. Our work requires dedication and commitment on the part of each of us. We are responsible for insuring the public that they are receiving the best possible return on their investment of tax dollars.

Again, I extend a sincere welcome to you and the best wishes for your success.

Sincerely,

A handwritten signature in black ink, appearing to read 'R. Weiss', with a stylized, cursive script.

Richard A. Weiss  
Director

RAW:rb

## **DEPARTMENT OF FINANCE AND ADMINISTRATION**

### **History**

Act 255 of 1917 established the Comptroller's Office and the State Auditorial Department. The Comptroller was charged with the execution of all laws relating to the inspection and supervision of all books containing the accounts of the departments and institutions of the State and such other duties as set out in the Act. Act 49 of 1925 abolished the position of Comptroller and created a Board of Charities and Correction, composed of three members appointed by the Governor (one of whom was designated the ex-officio State Comptroller). Act 49 of 1925 was repealed by Act 37 of 1927, which re-established the position of Comptroller to be filled by gubernatorial appointment. Act 41 of 1953 abolished the Comptroller's Office and set up the Department of Finance and Administration. Act 315 of 1955 established a general accounting office, which was designated as the Office of State Comptroller, and which included the Division of Legislative Audit.

Act 62 of 1957 established the Social Security Division, and Act 177 of 1957 created the Arkansas State Employees' Retirement System. The latter act stipulated that the State Comptroller be responsible for administration of the Retirement System and serve as its executive secretary.

Acts 153 and 154 of 1965 transferred the administrative duties of Social Security coverage and State Retirement for public employees from the State Comptroller's Office to the Board of Trustees of the Arkansas Employees' Retirement System, effective June 9, 1965.

Act 468 of 1967 created a State Administration Department. Act 468 stipulated that qualifications of the Director of Administration would be those required for the State Comptroller under Section 3 of Act 315 of 1955 and the Director be appointed by the Governor. The duties and powers of the State Comptroller and his staff, together with the assets of the State Comptroller's Office, were transferred to the State Administration Department, effective July 1, 1967. The act abolished the Office of State Comptroller and created divisions of the State Administration Department, including the State Purchasing Department as a division of the State Administration Department.

Act 466 of 1967 created a Personnel Division of the State Administration Department.

Act 44 of 1968 authorized the creation of a Marketing and Redistribution Section within the Purchasing Division of the State Administration Department.

Act 46 of 1968 authorized an electronic Data Processing Center to be operated by the State Administration Department and authorized the use of the Center by other State agencies, boards, commissions, and departments.

Act 47 of 1968 authorized the State Administration Department to establish and maintain a central telephone service for other State Agencies.

Act 199 of 1969 established a Personnel Classification and Compensation Plan for designated State agencies. The Act also established procedures to be followed by the State Administration Department in exercising pre-audit and other controls to ensure compliance

with the authorized salary positions approved in the respective appropriation acts for agencies covered by the Personnel Classification and Compensation Plan.

Act 286 of 1969 transferred all powers, functions and duties of the division of Local Affairs and Audits of the State Administration Department to the Division of Legislative Audit.

Act 38 of 1971 created a Department of Finance and Administration with its Director to be appointed by the Governor. The State Administration Department, the Department of Revenue and the Surplus Property Program and their functions, powers and duties were transferred to the Department of Finance and Administration effective February 4, 1971. In addition, the Arkansas Racing Commission, and the Alcoholic Beverage Control Division were transferred to the Department of Finance and Administration for administrative supervision and direction.

Act 742 of 1975 transferred the Office of Criminal Justice and Highway Safety Information from the Department of Finance and Administration to the Department of Public Safety.

Act 884 of 1977 established the Department of Computer Services and transferred the duties of the Administrative Services Division to the new department.

An Executive Order by Governor David Pryor transferred the Merit System Council to the Department of Finance and Administration on July 1, 1977.

An Executive Order by Governor Bill Clinton transferred the A-95 Clearinghouse from the Department of Local Services to the Department of Finance and Administration.

Act 729 of 1981 transferred the Alcoholic Beverage Control Enforcement Division from the Department of Public Safety to the Department of Finance and Administration.

Act 764 of 1981 transferred the Intergovernmental Personnel Act Program, the HUD 701 Program and State Planning Grants from the Department of Local Services to the Department of Finance and Administration.

An Executive Order by Governor Frank White transferred the duties of the Arkansas Crime Commission to the Department of Finance and Administration on July 1, 1981. Operations of the Commission were phased out at the end of the 1981-82 fiscal year.

Act 691 of 1983 transferred the Natural Resources Leasing Program from the Department of Commerce to the Department of Finance and Administration.

Act 509 of 1993 transferred the Natural Resources Leasing Program to the Commissioner of State Lands Office effective July 1, 1993.

Acts 795 and 957 of 1993 transferred the Child Support Enforcement Unit from the Department of Human Services to the Department of Finance and Administration, Revenue Division, effective July 1, 1993.

## DEPARTMENT OF FINANCE AND ADMINISTRATION

### Functions

The primary functions of the Department of Finance and Administration are:

1. To provide assistance to all State agencies in the management of their appropriated funds, personnel, and property while exercising statutory controls over the agencies in these areas. The Director of the Department is the State's Chief Fiscal Officer and executes the responsibilities of making certain that expenditures, use of personnel and use of property are carried out in accordance with the laws of the State.
2. To collect the general and special revenues assessed by law in an efficient and fair manner.
3. To register all motor vehicles in the State and to issue all drivers' licenses.
4. To establish and enforce child support obligations, including the establishment of paternity.

In addition, the Department administers the laws governing the sale and consumption of all alcoholic beverages, enforces alcoholic beverage laws, and administers pari-mutuel horse and dog racing regulations.

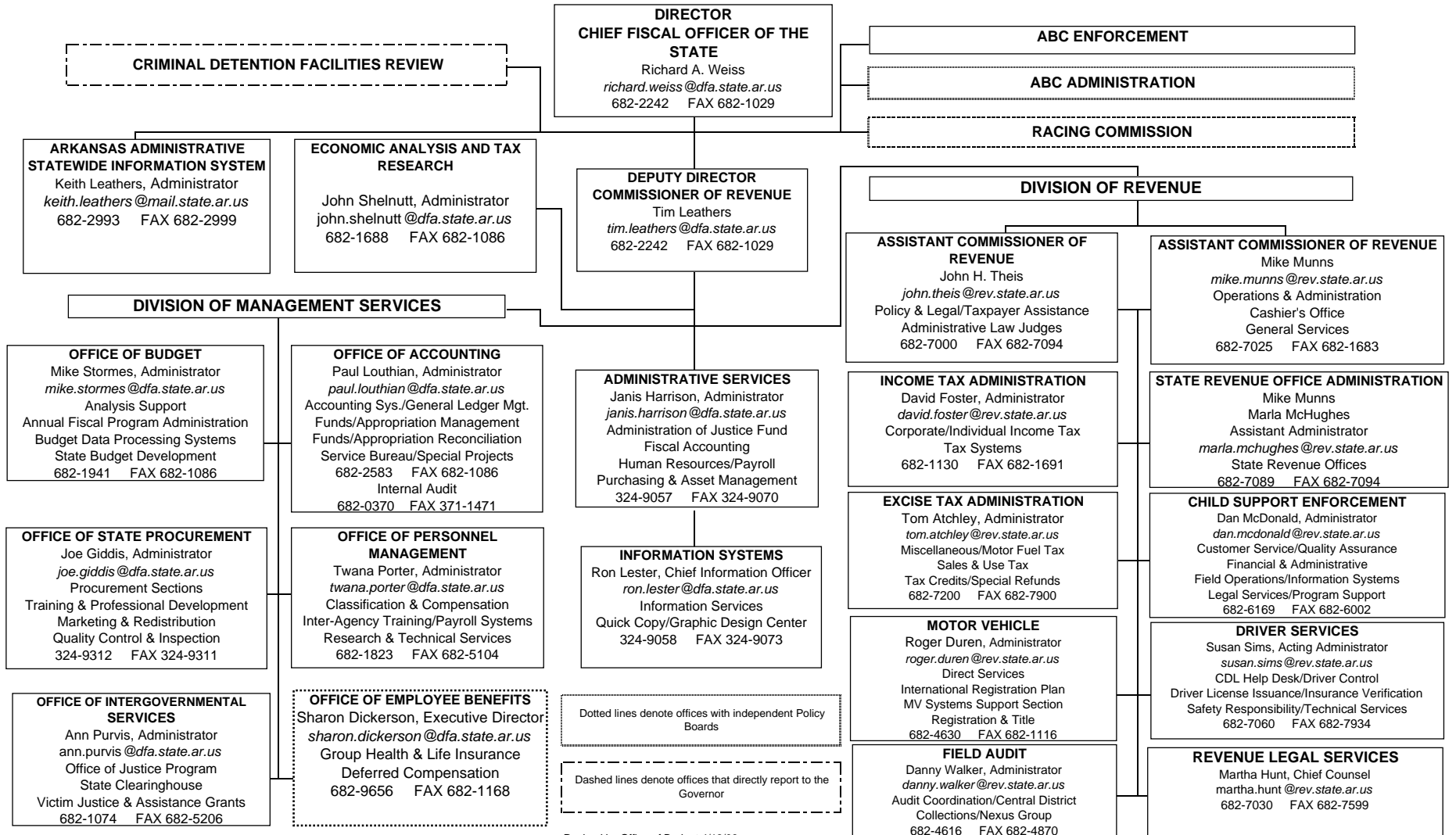
The two major divisions of the Department are:

1. **DIVISION OF MANAGEMENT SERVICES**, which includes the Office of the Director, Office of Accounting, Office of Budget, Office of Personnel Management, Office of State Procurement, Office of Intergovernmental Services, Office of Administrative Services, Office of Information Services, Employees Benefit Division, Criminal Detention Facilities Review and Office of Internal Audit.
2. **DIVISION OF REVENUE**, which includes the Offices of the Assistant Revenue Commissioners, Office of Income Tax Administration, Office of Excise Tax Administration, Office of Field Audit, Office of Driver Services, Office of Motor Vehicle, Office of Taxpayer Services, Office of Hearings and Appeals, Office of Revenue Legal Counsel, Office of Financial and Management Services, Office of State Revenue Office Administration, and Office of Child Support Enforcement.

The Office of the Director of the Department of Finance and Administration and Deputy Director/Commissioner of Revenue are located in Room 401 of the Department of Finance and Administration Building (DFA Building) at 1509 West 7<sup>th</sup> Street.

The Offices of the Assistant Commissioners of Revenue are located in Room 2047 in the Ragland Building (Operations and Administration) and Room 215 in the Joel Y. Ledbetter Building (Policy and Legal) at 7<sup>th</sup> and Wolfe Streets. All offices within the Division of Revenue are located in the Ragland and Joel Y. Ledbetter Buildings with the exception of the Office of Child Support Enforcement. It is located at 400 East Capitol.

# ARKANSAS DEPARTMENT OF FINANCE AND ADMINISTRATION



Revised by Office of Budget 4/18/06

# DEPARTMENT OF FINANCE AND ADMINISTRATION

	<u>FAX</u>	<u>PHONE</u>	<u>RM./BLDG.</u>		<u>FAX</u>	<u>PHONE</u>	<u>RM./BLDG.</u>
<b>OFFICE OF THE DIRECTOR</b>				<b>OFFICE OF STATE PROCUREMENT (OSP)</b>			
<i>Richard A. Weiss, Director</i>	682-1029	682-2242	401 / DFA	<i>Joe Giddis, Administrator</i>	324-9311	324-9316	301 / DFA
<i>Timothy J. Leathers, Deputy Director/</i> <i>Commissioner of Revenue</i>		682-2242	401 / DFA	Jerry Hester, Deputy Administrator		371-6058	302 / DFA
Rita Barlow, Executive Assistant		682-2242	401 / DFA	QUALITY CONTROL MANAGER, Dudley Meadows		371-6053	301 / DFA
<i>John Shelnuft, Admin. Economic Analysis &amp; Tax Research</i>		682-1688	404 / DFA	P-CARD/TRAVEL CARD MANAGER, Gerald Congleton		371-6054	301 / DFA
<i>Keith Leathers, Director, AASIS Support Center</i>	682-2999	682-2993	124 W. Capitol	SUPPORT SERVICES MANAGER, Vacant		371-6073	301 / DFA
				PROFESSIONAL CONSULTANT SERVICES, Jerry Hester		371-6058	301 / DFA
<b>OFFICE OF ADMINISTRATIVE SERVICES (OAS)</b>				MARKETING & REDISTRIBUTION MANAGER, David Justice		565-8645	Young Road*
<i>Janis Harrison, Administrator</i>	324-9070	324-9057	700 / 1515	<i>*MAIL: MESSENGER: 6620 Young Road, Little Rock, Arkansas 72209</i>			
ADMIN. OF JUSTICE FUND, Keith Dixon, Manager	682-5354	371-6007	700 / 1515	<b>REVENUE DIVISION</b>			
FISCAL ACCOUNTING, Richard Drilling, Manager	324-9070	324-9060	700 / 1515		<u>FAX</u>	<u>PHONE</u>	<u>RM./BLDG.</u>
ACCOUNTS PAYABLE, Barbara Evans, Supervisor		324-9060	732 / 1515	<b>ASSISTANT COMMISSIONER</b>			
GOV.'S OFF./ADMIN. FUNCTIONS, Amy Embry		324-9137	700 / 1515	<b>OPERATIONS &amp; ADMINISTRATION</b>			
HUMAN RESOURCES, Jenette Manno, Manager	683-2174	324-9063	101 / 1515	<i>Mike Munns</i>	682-1683	682-7025	2047 / Ragland
PAYROLL, Janice Atha, Supervisor		324-9065	102 / 1515	CASHIER'S OFFICE, Jon Haydon, Manager		682-7162	1210 / Ledbetter
RECRUITMENT, Cathy Browning, Supervisor	371-6014	324-9063	101 / 1515	GENERAL SERVICES, Aaron Thomas, Manager		682-7168	1230 / Ledbetter
PURCHASING, Gail Archer, Manager	324-9212	324-9067	712 / 1515	INTERNAL AUDIT, Aaron Thomas, Manager		682-7150	1230 / Ledbetter
ASSET MGMT., Cleara Adams, Supervisor		324-9138	712 / 1515				
<b>OFFICE OF INFORMATION SERVICES</b>				<b>ASSISTANT COMMISSIONER</b>			
<i>Ron Lester, Chief Information Officer</i>	324-9073	324-9058	601 / 1515	<b>POLICY &amp; LEGAL</b>			
Stan King, Assistant Administrator	324-9073	683-0988	600 / 1515	<i>John H. Theis</i>	683-1161	682-7000	2440 / Ledbetter
ADMINISTRATION, Ken Williams, Manager	324-9073	371-6021	600 / 1515	HEARINGS & APPEALS	683-2098	682-7003	2360 / Ledbetter
APPLICATIONS, Linda Carpenter, Manager	682-4554	682-7013	2140/ Ragland	TAXPAYER ASSISTANCE OFFICE	683-0066	682-7751	2460 / Ledbetter
TECHNICAL SUPPORT, Sheila Losey, Manager	683-5572	371-6027	1240/ Ledbetter				
OCSE, Jeff Moritz, Acting IT Coordinator	324-8544	324-8531	105 W. Capitol	<b>OFFICE OF CHILD SUPPORT ENFORCEMENT</b>			
OPERATIONS	682-4574	682-7021	B170 / Ragland	<i>Dan McDonald, Administrator</i>	682-6002	682-6169	400 E. Capitol
QUICK COPY	682-4574	324-9072	B170 / Ragland	COLLECTIONS, Gwen Terrell, Manager		682-8415	400 E. Capitol
TECHNICAL SUPPORT	682-4179	683-2183	B302/ Ledbetter	CUSTOMER SVCS./QUALITY ASSURANCE, Rose Harris, Manager		371-5349	400 E. Capitol
<b>ALCOHOLIC BEVERAGE CONTROL – ADMINISTRATION</b>				FIELD OPERATIONS/CUSTOMER SERVICE, Barbara Morris-Williams, Manager		682-6195	400 E. Capitol
<i>Robert S. Moore, Jr., Director</i>	682-2221	682-1105	503 / 1515	FINANCE AND ADMINISTRATION, Robert Hallmark, Mgr.		682-6306	400 E. Capitol
<b>ALCOHOLIC BEVERAGE CONTROL – ENFORCEMENT</b>				GENERAL COUNSEL, Kay Demailly, General Counsel		682-6039	400 E. Capitol
<i>Carl Kirkland, Director</i>	682-3874	682-8174	204 / 1515	PROGRAM SUPPORT, Annette Trammell, Mgr.		371-5333	400 E. Capitol
<b>CRIMINAL DETENTION FACILITIES REVIEW</b>				TECHNICAL ASSISTANCE/POLICY, Mary Smith, Manager		682-6828	400 E. Capitol
<i>David Underwood, Coordinator</i>	682-3874	324-9493	220 / 1515	STATE DISBURSEMENT UNIT, Ruth Ann Jefferies, Mgr.		683-7900	105 W. Capitol
<b>EMPLOYEE BENEFITS DIVISION</b>				<b>OFFICE OF DRIVER SERVICES ADMINISTRATION</b>			
<i>Sharon Dickerson, Executive Director</i>	682-1168	682-9656	300 / 1515	<i>Susan Sims, Acting Administrator</i>	682-7688	682-7060	2067 / Ragland
<b>RACING COMMISSION</b>				CDL HELP DESK, James Elliott, Manager		682-1400	2110 / Ragland
<i>Shelby McCook, Commission Manager</i>	682-5273	682-1467	505 / 1515	DRIVER CONTROL, Anita Gottsponer, Manager		682-7211	1080 / Ragland
				DRIVER LICENSE ISSUANCE, James Elliott, Manager		682-7052	2120 / Ragland
				DRIVING RECORDS, Anita Gottsponer, Manager		682-7211	1130 / Ragland
				INSURANCE VERIFICATION, Coy Fulfer, Manager		682-7930	1120 / Ragland
				SAFETY RESPONSIBILITY, Coy Fulfer, Manager		682-7098	1120 / Ragland
<b>MANAGEMENT SERVICES DIVISION</b>							
<b>OFFICE OF ACCOUNTING</b>				<b>OFFICE OF EXCISE TAX ADMINISTRATION</b>			
<i>Paul Louthian, Administrator</i>	683-0823	682-1515	100 / DFA	<i>Tom Atchley, Administrator</i>	682-7900	682-7200	2420 / Ledbetter
Gayle Mawhinney, Asst. Admin., Funds/Appropriation		682-5404	403 / DFA	MISCELLANEOUS TAX, Robert Bushmiae, Mgr.	682-1103	682-7187	2240 / Ledbetter
Connie Honeycutt, Asst. Admin., CAFR Unit		682-5228	605 / 1515	MOTOR FUEL TAX, Rodney Richard, Manager	682-5599	682-4800	2350 / Ledbetter
Melanie Hazeslip, Manager, G/L Reconciliation		682-5229	403 / DFA	SALES & USE TAX, Roberta Overman, Manager	682-7904	682-1895	1340 / Ledbetter
Leslie Black, Manager, Service Bureau		682-1916	100 / DFA	TAX CREDITS/SPECIAL REFUNDS, Tom Rugger, Manager	682-4986	682-7106	2370 / Ledbetter
<b>OFFICE OF ACCOUNTING – INTERNAL AUDIT</b>							
<i>Ricky Quattlebaum, Administrator</i>	371-1471	371-2093	215 / 1515	<b>OFFICE OF FIELD AUDIT ADMINISTRATION</b>			
<b>OFFICE OF BUDGET</b>				<i>Danny Walker, Administrator</i>	683-2082	682-4616	1420 / Ledbetter
<i>Mike Stormes, Administrator</i>	682-1086	682-5372	402 / DFA	AUDIT COOR., John Wellenberger, Manager	683-2214	682-4620	1450 / Ledbetter
Martha Henry, Assistant Administrator		682-5373	402 / DFA	NEXUS GROUP, Walter Anger, Supervisor	683-2214	683-2210	1450 / Ledbetter
Carla Wooley, Budget Manager		682-5377	402 / DFA	CENTRAL DIST., Larry Wisely, Manager	682-4870	682-4600	1310 / Ledbetter
Lisa Wilkerson, Budget Manager		682-5387	402 / DFA	COLLECTIONS, Wayne McLean, Manager		682-4720	1360 / Ledbetter
Steve Little, Budget Manager		682-5379	402 / DFA				
Budget Analysts		682-1941	402 / DFA	<b>OFFICE OF INCOME TAX ADMINISTRATION</b>			
<b>OFFICE OF INTERGOVERNMENTAL SERVICES (IGS)</b>				<i>David Foster, Administrator</i>	682-1691	682-1130	2220 / Ledbetter
<i>Ann Purvis, Administrator</i>	682-5206	682-1074	400 / 1515	CORPORATION INCOME TAX, Joe Ellis, Mgr.		682-4775	2250 / Ledbetter
DRUG LAW ENFORCEMENT PROGRAM				INDIVIDUAL INCOME TAX, Clarence Collins, Mgr.		682-7225	2300 / Ledbetter
Robin Jarratt, Program Manager		682-1074	400 / 1515	TAX PROCESSING, Gary Keadle, Manager		682-7075	B430 / Ledbetter
STATE CLEARINGHOUSE, Tracy Copeland, Mgr.		682-1074	400 / 1515				
VICTIM JUSTICE & ASSISTANCE GRANTS, Vacant, Program Manager	682-5155	682-1074	400 / 1515	<b>OFFICE OF MOTOR VEHICLE ADMINISTRATION</b>			
<b>OFFICE OF PERSONNEL MANAGEMENT (OPM)</b>				<i>Roger Duren, Administrator</i>	682-1116	682-4630	2042 / Ragland
<i>Twana Porter, Administrator</i>	682-5104	682-1823	201 / DFA	DIRECT SERVICES, Vacant, Manager		682-4661	2041 / Ragland
CLASS. & COMP., Kay Barnhill, Manager		682-5122	205 / DFA	INTERNATIONAL REGISTRATION PLAN, Christy Earnhart, Manager		682-4651	1010 / Ragland
CLASS. & COMP. HIGHER ED., Herb Scott, Manager		682-5184	203 / DFA	MV SYSTEMS SUPPORT SECTION, Tonie Shields, Manager		683-4625	2043 / Ragland
INTER-AGENCY TRAINING, Steve Keeton, Manager		682-5351	101 / DFA	REGISTRATION & TITLES, Jo Ann Stoots, Mgr.		682-4702	2040 / Ragland
PAYROLL SYSTEMS, Micki Poteet, Manager	682-5094	682-5111	202 / DFA				
RESEARCH & TECHNICAL SERVICES, Don Lukas, Mgr.		682-5139	205 / DFA	<b>OFFICE OF REVENUE LEGAL COUNSEL</b>			
SPECIAL PROJECTS, Patsy Paladino, Manager		682-1811	205 / DFA	<i>Martha Hunt, Chief Counsel</i>	682-7599	682-7030	2380 / Ledbetter
				<b>STATE REVENUE OFFICE ADMINISTRATION</b>			
				<i>Marla Hughes, Assistant Administrator</i>	682-7094	682-7087	2062 / Ragland



## **GENERAL POLICIES**

1. **Working Hours:** All State administrative offices will be open for business from 8:00 a.m. until 4:30 p.m. The normal work day for full-time employees working in an administrative office shall consist of 8 hours. Divisions or sections operating on a 24-hour basis or other than the normal work week shall be responsible for setting effective schedules. Consult your supervisor regarding your working hours and the policy on absences.
2. **Work Breaks:** Work breaks may be authorized each day at the discretion of your supervisor. Work breaks are a privilege rather than a right and should not interfere with work schedules or deadlines.
3. **Parking:** Parking facilities differ at each location. Carpooling is encouraged.
4. **Telephone Calls:** Carrying on the business of the State often depends on the telephone. Consequently, local calls are permitted but should be kept to a minimum. The State WATS lines are not “free”; each call is charged to your office and personal calls are **not** to be made on these lines.
5. **Dress and Appearance:** It shall be the policy of Arkansas State Government to encourage all employees to use good judgment and discretion in their dress and appearance. Personal appearance shall be appropriate to the job assignment and location. Each Administrator may establish dress and appearance standards as deemed necessary.
6. **Political Activity:** Arkansas State law prohibits State employees from engaging in partisan political activities during the hours they are performing work for and being paid by an agency of State government. Employees are not to endorse candidates, including the Governor, in their official capacity as State employees. The State further prohibits the use of any campaign literature (including bumper stickers) on a vehicle belonging to the State. The solicitation or collection of contributions for elected officials, candidates for office, or for any political activity is specifically prohibited during working hours. In addition, employees who receive more than 50% of their salary from Federal funds are covered by the Federal Hatch Act in addition to State laws, which may restrict off-duty activities.
7. **Public Information:** Most information in State government is public record and is available to all citizens. However, many confidential matters are entrusted to those working for the State. You should be certain (check with your supervisor) that information requested may be made available to the inquiring public.
8. **Other Employment:** It is not permissible for a State employee to engage in private employment during the time he or she is scheduled to be working for the State. Further, it is unlawful for a State employee to engage in any occupation outside working hours in a manner or to an extent which constitutes a conflict of interest as defined in the law.

Otherwise, it is permissible for State employees to engage in private employment if they so desire. It should be noted, however, that employees are subject to dismissal for inadequate performance of their jobs. Anyone considering employment in addition to his

or her job with the State should carefully consider whether such employment would make demands on his or her time and energies which would adversely affect job performance in the State job. This, of course, is a personal matter and requires the use of good judgment on the part of anyone considering such an arrangement.

9. **Union Activity:** Freedom of organized labor to bargain collectively and freedom of organized labor to bargain individually is the public policy of the State under Amendment 34 to the Constitution;  
“No person shall be denied employment because of membership in, or affiliation with, a labor union; nor shall any person be denied employment because of a failure or refusal to join, or affiliate with a labor union, nor shall any person, unless he/she shall voluntarily consent in writing to do so, be compelled to pay dues, or any other monetary consideration to any labor organization as a prerequisite to, or condition of, employment.”
10. **Discrimination:** Acts 1301 and 1318 of 1995 state that discrimination by any officer or employee of a State agency based upon race, creed, religion, national origin, age, sex, or gender shall constitute grounds for dismissal. If a court of law determines that any employee of the State is guilty of such discrimination, the employee shall be dismissed from employment.

# STATE OF ARKANSAS PAY PLAN FOR FY 05-06

	MINIMUM		MAXIMUM	
GRADE	ANNUAL	HOURLY	ANNUAL	HOURLY
1	\$12,605.23	6.0601	\$12,767.88	6.1384
2	\$12,605.23	6.0601	\$23,366.51	11.2341
3	\$13,009.08	6.2544	\$23,843.41	11.4629
4	\$13,009.08	6.2544	\$24,358.44	11.7105
5	\$13,009.08	6.2544	\$24,768.29	11.9076
6	\$13,205.75	6.3491	\$25,317.38	12.1716
7	\$13,481.69	6.4818	\$25,794.28	12.4009
8	\$13,755.70	6.6135	\$26,342.09	12.6644
9	\$14,269.66	6.8606	\$27,265.04	13.1081
10	\$15,195.61	7.3058	\$29,043.87	13.9634
11	\$16,190.76	7.7842	\$30,959.61	14.8846
12	\$17,219.54	8.2789	\$32,979.46	15.8552
13	\$18,352.65	8.8236	\$35,133.22	16.8908
14	\$19,553.68	9.4010	\$37,426.01	17.9932
15	\$20,821.55	10.0106	\$39,821.86	19.1451
16	\$22,193.54	10.6702	\$42,456.58	20.4120
17	\$23,428.42	11.2635	\$45,192.21	21.7269
18	\$25,142.34	12.0876	\$48,133.94	23.1413
19	\$26,824.34	12.8962	\$51,281.56	24.6548
20	\$28,538.26	13.7202	\$54,669.11	26.2831
21	\$30,426.36	14.6279	\$58,260.85	28.0100
22	\$32,382.38	15.5683	\$61,921.35	29.7697
23	\$34,475.28	16.5746	\$65,958.07	31.7105
24	\$36,738.08	17.6625	\$70,234.51	33.7668
25	\$39,104.16	18.8000	\$74,785.18	35.9543
26	\$41,642.03	20.0202	\$79,676.49	38.3057

\*See complete pay plan at [http://www.arkansas.gov/dfa/personnel\\_mgmt/](http://www.arkansas.gov/dfa/personnel_mgmt/)

## **HOLIDAYS**

**The following days are the official holidays applicable to State Government in Arkansas:**

<b>HOLIDAY</b>	<b>OBSERVED</b>
1. New Year's Day	January 1
2. Dr. Martin Luther King, Jr.'s Robert E. Lee's Birthday	the third Monday in January
3. Presidents Day/Daisy Gaston Bates Day	the third Monday in February
4. Memorial Day	the last Monday in May
5. Independence Day	July 4
6. Labor Day	the first Monday in September
7. Veterans Day	November 11
8. Thanksgiving Day	the fourth Thursday in November
9. Christmas Eve	December 24
10. Christmas Day	December 25
11. Employee's Birthday	the employee is granted one holiday to observe his/her birthday

### **ELIGIBILITY FOR HOLIDAY PAY AND/OR EQUIVALENT TIME:**

1. **Holiday Pay** - To be eligible for holiday pay, the employee must be in pay status at least one (1) hour the last scheduled work day before the holiday, and at least one hour the first scheduled work day after the holiday.
2. **Holiday During Leave** - When a holiday falls while an employee is on annual or sick leave, that day is charged as a holiday and will not be charged against the employee's annual or sick leave.
3. **Holiday During Day Off** - When a holiday falls on an employee's regularly scheduled day off, the employee will be given equivalent time off. The following provisions apply to employees who cannot take holidays as scheduled:
  - a. Employees must work on holidays when the needs of the agency require it. Each Administrator will determine the need.

- b. Days off for holidays may be taken at a time approved by the employee's supervisor. Holidays must be taken within one year from the date accrued or the holiday will be lost.
- c. Supervisors are responsible for scheduling days off in lieu of holidays for their employees. Department heads and supervisors are responsible for informing their employees of the schedule and the observation of all provisions.

4. **Holidays Falling on a Weekend** - When a holiday falls on Saturday, the holiday will be observed on the preceding Friday. Holidays falling on a Sunday will be observed on the succeeding Monday. This is true with the exception of the Birthday Holiday; a birthday occurring on Saturday or Sunday may be observed on the following Monday.

The Governor, by Executive Proclamation, may proclaim additional days when State offices shall be closed in observance of special events, or for other reasons at his discretion.

## **LEAVE and ATTENDANCE POLICY**

### **(Reference Act 567 of 1975)**

The following includes information related to a variety of leave policies within the Department of Finance and Administration. Should you have questions, please do not hesitate to ask your supervisor or timekeeper for information.

### **ATTENDANCE**

Each office has a policy which details how to request leave, requirements for reporting tardies and absences, reporting emergency absences, and other attendance related issues. Contact your supervisor for more information.

### **ANNUAL LEAVE**

Each regular or probationary employee shall be entitled to annual leave with full pay computed on the basis of the following schedule for each complete month of service, including the probationary period. (Extra-help employees are ineligible for annual leave.)

<u>YEARS OF SERVICE</u>	<u>ACCRUAL PER MONTH</u>	<u>AMOUNT PER YEAR</u>
through 3 years	1 day (8 hours)	12 days
4 through 5 years	1 day, 2 hours (10 hours)	15 days
6 through 12 years	1 day, 4 hours (12 hours)	18 days per year
13 through 20 years	1 day, 6 hours (14 hours)	21 days per year
Over 20 years	1 day, 7 hours (15 hours)	22 ½ days per year

Annual leave shall be cumulative, provided that no employee shall have more than thirty (30) days annual leave accumulated at the end of each calendar year. The employee may accumulate more than thirty (30) days of annual leave during the calendar year. At the end of the calendar year, annual leave accumulated in excess of thirty (30) days will be forfeited.

Annual leave can be taken only with the prior approval of the supervisor and will be granted at such time or times as will least interfere with the efficient operation of the division. Saturdays, Sundays, holidays, and other non-working days within a period of annual leave shall not be charged as annual leave. The minimum charge for absence on account of annual leave shall be fifteen (15) minutes. Employees may not borrow against their unearned annual leave. Annual leave will not be accrued during a calendar month which contains leave without pay (LWOP) totaling ten (10) days or more or 80 hours or more.

Employees transferring between State agencies without a break in service will, at the time of transfer, retain all accumulated annual leave.

Regular, probationary, and job share employees who are working less than full time will accrue annual leave in the same proportion as time worked. Annual leave must be earned before it can be used.

Whenever an employee is separated from the agency, the unused annual leave to their credit as of their last day of work shall be liquidated by a lump sum payment, not to exceed thirty (30) working days, inclusive of holidays.

## **SICK LEAVE**

Sick leave with pay will be granted to regular and probationary employees (extra help is ineligible for sick leave) when they are unable to perform their duties due to (1) sickness or (2) injury, or for (3) medical, dental, or optical treatment.

Sick leave with pay is also granted to an employee due to the death or serious illness of a member of the employee's immediate family. Immediate family shall be defined as: the father, mother, sister, brother, husband, wife, child, grandparent(s), grandchild, in-law(s), or any individual acting as a parent/guardian of the employee. In-laws are defined as father-in-law, mother-in-law, sister-in-law or brother-in-law.

Regular or probationary employees are entitled to sick leave with full-pay computed on the basis of one day for each complete month of service including the probationary period. Regular, probationary, and job share employees, working less than full-time, will receive sick pay in the same proportion as time worked. Sick leave with pay will not be granted to hourly or extra help employees.

Sick leave will be accrued at a rate of one (1) day of each completed month of service. The maximum number of sick leave days that can be carried forward at the end of December is 120 days. An employee may accrue in excess of 120 days (960 hours) of sick leave during the calendar year; however, sick leave in excess of 120 days (960 hours) will be lost if not used by December 31<sup>st</sup>.

Sick leave will not be accrued during a calendar month which contains leave without pay (LWOP) totaling ten (10) days or more or 80 hours or more.

Sick leave should be requested in advance; however, if the nature of the illness makes advance notice impossible, notification must be given to the supervisor or designated alternate on the first day of absence. A request for sick leave must be submitted within two (2) days after return to work. If notification is not made in accordance with established procedures, the absence will be charged to annual leave, compensatory time, or leave without pay, at the discretion of the supervisor or his/her designee. Absence due to illness or disability will be charged against cumulative leave totals in the following order: (1) earned sick leave, (2) earned annual leave, (3) accumulated compensatory time, (4) leave without pay.

If an employee is receiving Workers' Compensation benefits, special rules apply to the use of leave time, depending on the circumstances in each case. For guidance in each situation, the timekeeper should call the Human Resources Office at 501-324-9065.

An employee requesting maternity leave may elect to take leave without pay (LWOP) without first exhausting accumulated annual and sick leave. The same procedures used to request sick leave apply to maternity leave requests. (Reference Leave of Absence Without Pay and Family and Medical Leave sections of this handbook.)

Effective July 1, 1999, upon retirement, sick leave accrued but not taken, will be paid as a lump sum payment. For schedule, reference Sick Leave Incentive Program in the Supervisory Leave Manual.

## **FAMILY AND MEDICAL LEAVE**

The federal Family and Medical Leave Act (FMLA) of 1993 requires all public agencies to provide up to 12 weeks of unpaid, job-protected leave to “eligible” employees for certain family and medical reasons. DFA employees are “eligible” if they have worked within State government for at least one year, and for 1,250 hours over the previous 12 months.

Unpaid FMLA leave must be granted for any of the following reasons:

1. to care for the employee’s child after birth, or placement for adoption or foster care;
2. to care for the employee’s spouse, son or daughter, or parent, who has a serious health condition; or
3. for a serious health condition that makes the employee unable to perform the employee’s job.

Under DFA policy, an employee may elect to use accrued paid leave in place of unpaid leave. Subject to approval, an employee may take paid or unpaid leave on an intermittent basis or work a reduced leave schedule.

The employee is required to provide at least 30 days advance notice when the leave is “foreseeable.” The employee is also required to provide medical certification to support the request and additional certification if the employee is unable to return to work from leave. FMLA leave may be denied if these requirements are not met.

Under FMLA, job benefits and protection include:

1. for the duration of FMLA leave, the department will maintain the employee’s health insurance coverage under any “group health plan”, under the conditions that the coverage would have been provided if the employee had continued to work (matching portion paid by DFA while employee continues to pay his/her portion);
2. upon return from FMLA leave, most employees must be restored to their original or equivalent positions with equivalent pay, benefits, and other employment terms;
3. the use of FMLA leave cannot result in the loss of any employment benefit that accrued prior to the start of the employee’s leave.

## **CATASTROPHIC LEAVE**

The Catastrophic Leave Bank (CLB) program was established to provide paid leave for employees with a catastrophic illness who have exhausted all other paid leave. Effective April 7, 1999, the program was expanded to include the medical condition of a spouse, parent, or child of the employee which requires the employee’s absence from duty for a prolonged period of time. The Department of Finance and Administration participates in the Office of Personnel Management’s CLB program which includes leave donations from DFA employees and several other smaller agencies.

**Donations** - an employee may donate sick or annual leave in whole hour increments to the CLB at any time during the year. However, an employee may not designate the leave to a specific other employee.

**Recipients** - an employee may be eligible for catastrophic leave under the following provisions:



1. The employee is a current state employee who has been employed by the State for at least two years in a regular, full-time position. State service does not have to be continuous.
2. The employee must not have been disciplined for leave abuse with the past two years.
3. The employee, at the onset of the illness or injury, had to his or her credit at least eighty (80) hours of combined sick and annual leave and has exhausted all such leave (or foresees exhausting all such leave). Effective February 21, 2003, the "80-hour requirement" may be waived. Reference "Catastrophic Leave Bank Program" in the DFA Supervisory Leave Manual.
4. The employee must have a current "Physician's Certification" of a medical condition which prevents the employee from performing the employee's job duties for a prolonged period of time (a minimum of 30 working days) and which will result in substantial loss of income.
5. An employee whose accident or injury is covered by Workers' Compensation is not eligible until such benefits have been exhausted.

Catastrophic leave cannot be retroactive; therefore, it is important that the employee, or the employee's legal representative, request the catastrophic leave before the employee's leave is exhausted. Employees who receive catastrophic leave will continue to accrue leave and receive other benefits; however, leave earned while on catastrophic leave and unused leave will be returned to the program.

### **MILITARY LEAVE**

Effective July 15, 1991, employees who are members of the National Guard or any of the reserve branches of the armed forces shall be granted leave at the rate of fifteen (15) days per calendar year, plus necessary travel time for annual training requirements. Any military leave not used in a calendar year will accumulate for use in the succeeding calendar year until it totals fifteen (15) days at the beginning of a calendar year, for a maximum of thirty (30) days of military leave available in any one calendar year.

The leave shall be granted without loss of pay and in addition to regular vacation time. Each employee who requests military leave shall furnish a copy of his/her orders for his/her personnel file. Personnel called to duty in emergency situations, by the Governor or the President shall be granted leave with pay not to exceed thirty (30) working days after which leave without pay will be granted. This leave shall be granted in addition to regular annual leave.

Copies of military orders will state "Active Duty" and be attached to the request for leave form maintained by the timekeeper. The timekeeper will also forward a copy of the military orders to the Human Resources Office to be placed into the employee personnel file.

## **MATERNITY LEAVE**

Maternity leave shall be treated as any other leave for sickness or disability except for the provisions of Act 129 of 1983. This act states that an employee may elect to take leave without exhausting accumulated annual or sick leave. An employee may also utilize Family and Medical Leave for maternity purposes.

## **DISASTER SERVICE VOLUNTEER LEAVE**

**Act 268 of 1997**, effective February 25, 1997, allows state employees certified by the American Red Cross to volunteer for disaster service if they meet the following conditions:

- 1) their specialized disaster relief services are requested by the American Red Cross for a disaster; and
- 2) the leave is approved by the chief executive officer of his/her state agency.

The employee may be granted up to fifteen (15) working days in a twelve-month period without loss of pay, seniority, annual or sick leave or compensatory or overtime pay.

## **COURT AND JURY LEAVE**

Effective July 1, 2003 Act 835 of 2003 authorizes court leave with pay only where an employee serves in cases that do not involve personal litigation. "Any employee serving as a juror or subpoenaed as a witness to give a deposition in a court or hearing, not involving personal litigation or service as a paid expert witness outside the scope of state employment, shall be entitled to full compensation in addition to any fees paid for such services, and such services or necessary appearances in any court shall not be counted as annual leave". The employee shall furnish the appropriate documentation to the supervisor for attachment to the request for leave form maintained by the timekeeper.

## **LEAVE WITHOUT PAY (LWOP)**

A state employee, upon written request and approval of the DFA Director or his designee, may be eligible to obtain a continuous leave of absence without pay up to six (6) months, other than the provisions granted for military leave. If the DFA Director or his designee determines that the employee's leave of absence without pay request would cause an undue hardship on the agency, the request may be denied. At the expiration of such leave, the employee will be reinstated in state service without loss of any benefits unless the director or his designee determines that reinstatement would cause an undue hardship on the agency or the position is no longer available due to a budgetary reduction in staff. A request to extend the leave of absence without pay up to an additional six (6) months may be granted unless the director or his designee determines that continuing the leave would cause an undue hardship on the agency or the position is no longer available due to a budgetary reduction in staff. Failure on the part of the employee to report promptly at the end of the leave of absence except for satisfactory reasons submitted in writing in advance will be cause for dismissal. The DFA Director's designee is the appropriate Administrator or Director.

Leave of absence without pay shall not be granted until all of such employee's accumulated leave has been exhausted. Exceptions to this include maternity leave, Family and Medical Leave, and disciplinary leave, inclement weather as designated by state policy, or due to necessary budget reductions as determined by the DFA Director.

Any employee on leave of absence without pay for a period of 80 hours in a month shall not accumulate leave time, participate in agency group insurance programs in which the State contributes, nor receive pay for any legal holiday. The employee may pay the total cost of agency group insurance during such leave and be reinstated into such programs on return to duty.

### **WORKERS' COMPENSATION**

The Workers' Compensation Act provides State employees with protection from expenses incurred due to job related injury or illness. Employees are required to receive treatment through the "managed care organization" (MCO) when a work-related injury occurs. The employee must go to a doctor that is covered under the MCO or payment may be required from patient and not eligible for reimbursement. The only exception would be an emergency room situation (limb or life threatening). The telephone number of your employer's MCO is 800-822-2680. You may call this number if you have questions about managed care or if you need names of physicians.

After seven days of absence, not including the day of illness or injury, an employee may be entitled to compensation of  $66 \frac{2}{3}$  of his/her wages up to a maximum of \$394.00 per week.

The maximum payment of regular partial disability is 75% of \$394.00, or \$296.00 per week.

The act provides money to defray all authorized reasonable and necessary medical charges such as prescriptions, hospital expenses, etc.

Additionally, the act provides for weekly benefits for surviving dependents in the event that an employee dies of a job related illness or injury.

The procedure for filing a workers' compensation claim is found in the DFA Administrative Services Procedures Manual. Your supervisor or manager will have access to this manual. You may call the Human Resources office at 324-9063 for further assistance.

### **VEHICLE SAFETY PROGRAM**

In compliance with the regulations of the State Master Vehicle Policy, administered by the Risk Management Division, Arkansas Insurance Department

In 1986, the Risk Management Division of the Arkansas Insurance Department developed a Vehicle Safety Program for all agencies covered under the State Master Vehicle Policy. The purpose of the program is to ensure that only licensed drivers with acceptable driving records operate vehicles on state business, thereby protecting the state from unnecessary liability exposure.

The processes for obtaining employee driving records in DFA are as follows:

1. Each new DFA employee will sign the required authorization (VSP-1), and will receive a copy of the signed authorization and of the Driving Safety Tips. The original VSP-1 will be forwarded to the DFA Human Resources Office along with the usual hire documents.
2. Driving records will be checked automatically by the Office of Driver Services each week. Administrators will be notified if an employee's driving status has changed. It will be the administrator's responsibility to then ensure compliance with the DFA requirements for the Vehicle Safety Program.
3. Employees leaving employment with DFA will be removed from the DFA database.
4. If an applicant's hire is dependent on having an acceptable driving record, the supervisor may request an immediate review of the record by contacting Shelly Smith at 501-324-9065. At the time of this request, the supervisor must have a signed copy of the VSP-1 from the applicant.
5. For more information about the Vehicle Safety Program, contact the DFA Vehicle Safety Program coordinator at 501-324-9065.

### **AMERICANS WITH DISABILITIES ACT COMPLIANCE**

The Department of Finance and Administration (DFA) is committed to providing reasonable accommodations to the known physical or mental limitations of qualified applicants or employees with disabilities unless it can be shown that the accommodations would impose an undue hardship on the Department.

Specifically, the Department provides reasonable accommodations to ensure equal opportunity in the application process, to enable a qualified individual with a disability to perform the essential functions of a job, and to enable an employee with a disability to enjoy equal benefits and privileges of employment.

The Department's ADA Coordinators are:

Jennifer Davis, Coordinator for all Offices in the Management Services Division, Office of Administrative Services, and Offices in the Alcoholic Beverage Control Division, and Preston Means, Coordinator for all Offices in the Revenue Division.

It should be understood that the Department cannot make an accommodation when it is unaware of the need. It is primarily the responsibility of the applicant or employee with a disability to inform the Department that an accommodation is needed to participate in the application process, to perform essential job functions, or to receive equal benefits and privileges of employment.

If you feel you need a reasonable accommodation, please submit a written request to your supervisor. Together the supervisor and the ADA Coordinator will review the request to determine the most appropriate action. Our goal is to provide reasonable accommodations that reduce barriers to employment related to an applicant's or employee's disability.

## **DFA UNIFORM GRIEVANCE AND ALTERNATIVE DISPUTE RESOLUTION PROCEDURE**

### **Purpose**

This grievance procedure is established to provide employees with a prompt review, impartial consideration, and equitable disposition of their grievances. Any employee who presents a grievance or complaint in good faith and in a reasonable manner will be free from restraint, interference, discrimination, or reprisal.

This procedure is intended to encourage employees to discuss problems with their supervisor, thereby providing a basis to talk over matters of mutual interest, to explain, to reach agreement, to make adjustments if necessary, and to foster better understanding between employees and supervisors. Such discussion will lead to better employee/supervisor understanding of policies, procedures, and practices.

The Alternative Dispute Resolution (ADR) or Mediation component of this procedure is provided to promote collaborative problem solving. The mediation process may be utilized for resolution of any work-related disputes, which include issues that may not necessarily be defined as grievance issues.

### **Policy**

It is the policy of this agency that all employees are given the opportunity to resolve complaints or grievances which they believe adversely affect their employment or working conditions. This opportunity is provided through established steps and procedures to ensure fair resolution within a reasonable time frame.

It is also our policy that reasonable efforts be made to settle complaints or grievances as quickly as possible. Direct contact between supervisor and employee has always been a policy of this agency. These Grievance and ADR Procedures are not intended, nor will they be allowed, to become a barrier to the supervisor/employee relationship.

Employees should submit only grievances or complaints that meet the following criteria:

- 1) made in good faith
- 2) expressed in reasonable terms
- 3) include causes for the grievance
- 4) include corrective action desired, and
- 5) include sufficient information upon which to base decisions.

Access to this procedure is at the employee's option and does not create any expectation of continued employment, but provides an avenue of review and resolution of internal situations.

### **Definitions**

1. Employee – an individual who is a non-probationary, full-time employee of the agency who occupies a regular position and who works a minimum of 1,000 hours per year. This policy will not apply to employees who hold administrative posts, appointed positions, and employees who are on initial new hire probationary status. Part-time, temporary, intermittent, and extra help employees do not have access to this procedure.

In DFA, the employees occupying the following positions do not have access to these procedures:

DFA Director	DFA Deputy Director
DFA Revenue Assistant	Alcoholic Beverage Control
Commissioner	Enforcement Director
Alcoholic Beverage Control	Racing Commission
Administration Director	Manager
Criminal Detention Facilities	DFA Administrators
Review Coordinator	
Managers	Attorney Supervisors
Attorney Specialists	Attorneys
and anyone occupying an unclassified position.	

2. Grievance – a complaint by an employee regarding an aspect of his or her employment, including, but not limited to:

annual leave	sick leave	compensatory time
dismissal	suspension	promotion
demotion	disciplinary actions	discrimination

or any other work-related problem except compensation and conditions which are beyond the control of agency management or are mandated by law

Complaints about performance evaluations may be appealed utilizing the separate performance evaluation appeals process. Complaints concerning performance evaluation will not be reviewed by the State Grievance Review Committee, the State Employee Grievance Appeal Panel, or through ADR.

Reduction-in-force (RIF) appeals will be processed through a separate appeals procedure. The ADR mediator, the State Grievance Review Committee and/or the State Employee Grievance Appeal Panel will not hear complaints concerning reduction-in-force.

Non-selection for promotion or lateral transfer will not be heard by the State Grievance Review Committee or the State Employee Grievance Appeal Panel, unless discrimination is the basis of the complaint. Non-selection may be heard, internally, through mediation or the grievance procedure.

3. Alternative Dispute Resolution (ADR) or Mediation – a process that allows parties to constructively manage conflicts through collaborative problem solving and joint decision making, through utilization of a third party neutral (mediator).

## Procedure

All grievances, complaints, steps in the procedure, and any appeal steps will be processed through the agency grievance officer and should be handled in accordance with the following procedures:

NOTE: Participation in any portion of this procedure is voluntary. This includes both the ADR component and the grievance procedure component. If ADR is the process selected by the employee to attempt resolution of the dispute, the employee will not have access to the grievance procedure. If the employee elects to utilize the grievance procedure, the employee will not have access to mediation (ADR). Regardless of the issue, the employee will not have access to the State Grievance Review Committee or the State Employee Grievance Appeal Panel if ADR is the chosen resolution process.



The grievance and/or ADR may be terminated at any stage if an agreement between parties is reached. The grievance procedure may be terminated at any step by the grievant. The ADR process may be terminated at any point by the grievant, supervisor, and/or mediator if the sessions are not productive.

The employee and agency may be represented by someone of his or her own choosing at each step of this procedure except during informal discussions prior to initiating the formal grievance procedure or ADR process.

The internal grievance procedure will be completed within 25 working days, and the ADR procedure will be completed within ten working days after the employee files a written grievance, unless an extension is agreed to by all parties involved. The total number of days, including extensions and/or appeals to the agency director, the State Grievance Review Committee, or the State Employee Grievance Appeal Panel, is not to exceed 35 working days.

It is recognized that supervisors and employees have frequent discussions of work-related problems or disagreements. These candid conversations are generally healthy and helpful to both participants and this procedure is not intended to inhibit these exchanges. Before filing a written grievance or using the ADR process, an employee is encouraged to discuss the problem with his or her immediate supervisor to attempt to reach a satisfactory solution. (If the complaint involves sexual harassment, the employee will not be required to meet with the supervisor alone, if the supervisor is the accused.) Most problems can be cleared up or resolved at this point. Collaborative problem-solving is encouraged.

If the problem is not resolved by an informal meeting between the employee and the supervisor, the employee may contact the department's grievance officer who will assist him or her in starting the ADR process or the formal grievance procedure at the appropriate step. If, for whatever reason, the grievance officer cannot process the grievance, a substitute grievance officer will be designated.

The employee and the appropriate level of management may have any persons having knowledge of matters relevant to the grievance present at any and all steps of the grievance or ADR procedure. Both parties may also submit or request the submission of relevant written documents at any and all steps.

Under special circumstances, the grievance officer has the authority to modify, waive, or otherwise change the Uniform Grievance/ADR Procedure to fulfill the intent of the procedures, provided such modification, waiver, or change is agreed to by the Department Director and the employee. This will include combining grievances. The grievance officer will document the justification for and the details of any variation from the procedure.

The Department Director may intervene at any step in the grievance or ADR procedure if he/she decides that direct action is necessary to resolve the complaint. The Director will make every effort to resolve all matters involving allegations of unlawful discrimination, termination, suspension without pay, involuntary demotion, and/or failure to award compensatory time.

Should any person within the Department intentionally interfere with, hinder, block, or otherwise impede the processing of a grievance, that employee will be subject to disciplinary action. Also, if any employee or supervisor willfully fails to meet any of the deadlines set forth within this procedure in an attempt to delay the resolution or disposition of a grievance, the employee or supervisor will be deemed to have forfeited any participation which he/she might

otherwise have under this procedure. Additionally, if an employee is determined to have filed frivolous grievances or complaints, the employee will be subject to disciplinary action.

### **Determination of Grievable Matters**

If the grievance officer and the employee cannot agree about whether the complaint is grievable within the scope of these procedures, Executive Order 86-1, and/or Executive Order 93-01, the grievance officer will request a determination from the State Grievance Review Committee (SGRC). To request this determination, the grievance officer will file information concerning the nature of the complaint with the Administrator of the Office of Personnel Management. The employee and the agency supervisor will submit position statements concerning the nature of the complaint. These statements will be filed with and attached to the grievance officer's request for the determination. Determination matters include whether the matter is grievable, whether the employee has access to the procedure, and/or whether the matter is grievable to the State Employee Grievance Appeal Panel (SEGAP), State Grievance Review Committee (SGRC), or is eligible for ADR.

The Administrator of the Office of Personnel Management (OPM) will promptly report to the grievance officer and/or employee (where applicable) the Committee's decision concerning the determination. Neither the Administrator of OPM nor any member of the SGRC will make any finding at this stage regarding the complaint. Their review will be limited to the determination of whether the complaint is a grievable matter, whether the employee has access to the process, and/or to which process the complaint should be addressed.

### **Special Notations**

Meetings and hearings at all steps of the grievance procedure may be transcribed and will become part of the case file record if appealed to the agency director, SGRC, or SEGAP. Meetings and hearings of the ADR process will not be recorded.

Grievances involving allegations of unlawful discrimination, termination, suspension without pay, involuntary demotion, and/or failure to award compensatory time will begin at Step 3 of this procedure unless the employee chooses to utilize the ADR process to attempt resolution.

At the conclusion of each step of the procedure, including ADR, written notification of decisions, agreements, or recommendations will be provided to all parties involved, including the employee's immediate supervisor (when appropriate). If ADR is utilized, the only documentation will be a written agreement or a statement which reports that an agreement was not reached.

The employee should attempt to resolve any work-related problems with the supervisor in an informal meeting prior to initiating the ADR process or the grievance procedure.

*To initiate the grievance or ADR component of this procedure, the employee must submit the complaint or grievance in writing to the agency grievance officer within five working days of the occurrence of the incident.*

### **Step 1**

The grievance officer will contact the appropriate supervisor within three working days of the filing of a grievance and arrange for a meeting within three working days between the employee and the supervisor with the grievance officer present. The grievance officer will explain the ADR process and grievance procedure to both parties. The employee will have two working days to select the process (ADR/Mediation—Option 1 or Grievance—Option 2) to be utilized.



**Option 1** (For the purposes of this policy, the terms ADR and Mediation will be used interchangeably.) If ADR is chosen, the grievance officer will contact the Office of Personnel Management to secure a mediator. The mediator will contact the employee and appropriate level of management within two working days of notification to schedule the initial mediation session.

If the ADR process is successful, the mediator will formalize the agreement in writing. The agreement will be signed by the grievant, agency management, representatives (if present), and the mediator. The agreement will be filed with the grievance officer within five working days of the conclusion of the ADR session.

If a resolution is not reached through ADR within ten working days, the mediator will prepare a statement to that effect. The statement, specifying that a resolution was not achieved, will be signed by the grievant, management, and the mediator. At this point, the employee's access to internal resolution procedures is exhausted. The statement will be filed with the grievance officer within two working days of the conclusion of the ADR process.

**Option 2** If the grievance procedure option is selected, the grievance officer will contact the supervisor and arrange a meeting between the supervisor and employee, with the grievance officer present, within three working days. The supervisor will submit his/her decision in writing to the employee and the grievance officer within one working day of the conclusion of this meeting. If the employee wishes to continue the grievance, written notice will be provided to the grievance officer within two working days of receipt of the supervisor's written decision. The process will continue to Step 2.

## **Step 2**

The employee, if not satisfied with the results of Step 1, may, in writing, request a review by the next appropriate level of management. The request will be submitted to the grievance officer within two working days of receipt of the decision at Step 1. The grievance officer will arrange and attend a hearing between the employee and management (referred to as the deciding official). The deciding official may require the employee to submit a written statement of his/her disagreement with the decision in Step 1 prior to the hearing. The deciding official may take testimony from relevant witnesses and the employee's supervisor. This hearing will be recorded. The deciding official will submit his/her decision in writing to the employee, the grievance officer, and the supervisor within three working days following the conclusion of the hearing.

## **Step 3**

If not satisfied with the results of Step 2, the employee may, in writing, request a hearing by the Department Director (or designee). The request will be submitted to the grievance officer within two working days of the receipt of the decision at Step 2. The grievance officer will submit the matter to the Department Director. The hearing must be recorded and may be transcribed, and will become a part of the case file (if appealed).

The grievance officer will, within three working days, arrange and attend a meeting between the employee and the Department Director or his/her authorized representative (e.g.: special hearing officer, Deputy Director, etc.). Subordinate managers will attend at the request of the hearing officer. The hearing officer may take testimony and accept exhibits. The hearing will be recorded.

Within three working days of the conclusion of the hearing, the Department Director will submit his/her decision in writing to all parties involved, including the immediate supervisor (if appropriate).

#### **Step 4**

If the employee is not satisfied with the decision of the Department Director (or designee), he or she may, within five working days of receipt of the Director's written decision, appeal the decision to SGRC or SEGAP (as appropriate).

Within five working days from the date of receipt of the grievant's written appeal, the Administrator of the Office of Personnel Management will set a hearing date with SGRC (Committee) or SEGAP (Panel). The Committee or Panel will conduct whatever review of the grievance it deems necessary. The Panel will hear unresolved grievances concerning allegations of unlawful discrimination, termination, suspension without pay, involuntary demotion, and/or failure to award compensatory time. The Committee will hear all other unresolved grievances.

The Committee will conduct its review and make recommendations to the Director and the appealing party (and designated representatives) within ten working days of the appeal.

The Panel will conduct a hearing and make its decision within five working days following the conclusion of the hearing. The written decision will be forwarded to the Director, appealing party, representatives of either or both parties, and the employee's immediate supervisor within ten working days following the conclusion of the hearing. The decision will be binding on all parties.

#### **Step 5**

If the review body is the Committee, the director will review the Committee's recommendations and will submit, within three working days of receipt of the written SGRC recommendation, his or her decision in writing to all parties, representatives, and supervisors involved. The Committee will be copied on this decision. The decision of the Director will be final and binding on all concerned.

If the review body is the Panel, the Director will review the Panel's decision and effect implementation of the decision. If the Director does not agree with the Panel's decision, he or she may, within ten working days of receipt of the Panel's written decision, provide the Chief Fiscal Office of the State and the aggrieved employee with written justification of the agency's action, and request a formal review of the Panel's decision by the Chief Fiscal Officer. The employee may also submit comments regarding the agency director's justification to the Chief Fiscal Officer. These responses to an agency appeal will be submitted to the Chief Fiscal Officer within ten calendar days of the date of the agency appeal. (Appeals to the Chief Fiscal Officer should be processed by the agency grievance officer or authorized representative.) Within fifteen days of receipt of the agency director's justification and written request for review, the Chief Fiscal Officer will issue a final administrative order affirming, reversing, or modifying the Panel's decision. This order will be binding on the agency.

Note: Since the Chief Fiscal Officer of the State is also the Department Director of DFA, Step 5 may not be available to employees of the Department of Finance and Administration. However, the DFA Director may designate the DFA Deputy Director or DFA Revenue Assistant Commissioner to hear the grievance at Step 3. The Director, as Chief Fiscal Officer, would then be able to review the appeal at Step 5.

This, however, does not prohibit employees from using remedies outside these procedures. Each employee retains the right to file a complaint with the Equal Employment Opportunity Commission or pursue other legal remedies.

#### **V. Documentation**

It will be the responsibility of the grievance officer to maintain the official file of the grievance or complaint, the procedures followed, and the ultimate disposition, along with copies of all documentary evidence. In addition, when an employee begins the formal grievance procedures or ADR at any step, it will be the responsibility of the grievance officer to immediately document the name of the employee and of his/her immediate supervisor, the employing unit, the name of the grievance officer, a statement of the nature of the grievance, the chosen method of resolution, and the date formal proceedings began. All documentation relating to an employee grievance will be maintained in the department's Human Resources Office, separate from the employee's personnel file. No information relating to the grievance will become a part of any employee's permanent personnel record. However, these records will be maintained in hard copy for five years, and maintained permanently in a manner that complies with applicable state and federal laws regarding retention of such records.

## **GENERAL STATE BENEFITS**

### **Insurance Benefits:**

Group health insurance benefits are offered to employees through the Employee Benefits Division. Depending on the insurance option an employee chooses, a portion of the coverage is paid by the employee, with the employer paying the matching costs.

In addition to group health insurance options, group life insurance benefits are available. You will need to contact a DFA Insurance Representative at 371-6010 for detailed information and assistance.

### **Cafeteria Plan Benefits:**

The State also offers a tax-free method of paying eligible benefits under the Arkansas Cafeteria Plan (ARCAP) administered by Fringe Benefits Management Company. In accordance with IRS guidelines, an employee may reduce his/her taxable income by converting health insurance premiums to a tax-free basis and/or establishing a tax-free spending account for medical expenses or dependent day care expenses.

### **Deferred Compensation Benefits:**

An employee may elect to participate in the deferred compensation program. The tax sheltered investment options offer a means of setting aside money for future use which is not subject to current federal or state income tax. Taxes become payable when the deferred income plus earnings are paid to the employee, usually at retirement, when the employee is probably in a lower income tax bracket. This deferred income can serve as a supplement to social security, pension, or retirement benefits.

### **Retirement Benefits:**

As a condition of employment, an employee is enrolled in the Arkansas Public Employees Retirement System (APERS) effective the first employment day. This Department pays a pre-determined amount to APERS, and along with investment income determined by APERS, retirement allowances and other benefits are provided to the employee based on service.

### **Credit Unions:**

An employee may utilize two credit union options offering comparable full banking services and competitive rates.

### **Direct Deposit:**

This Department requires participation in our payroll direct deposit program. This program eliminates the need to take your pay warrant to your financial institution for deposit, and for those employees receiving pay warrants through the mail, it eliminates the possibility of it being lost in the mail. Direct deposit of a pay warrant is guaranteed by 9:00 a.m. of the regular payday.

- In order to better serve our employees, this Department makes available payroll deductions for any of the previously defined benefit options.